State of California, Secretary of State

Minutes of the CLAIMS User's Group Meeting

February 10, 2000
Secretary of State's Office, Sacramento, CA

In attendance were:
Caren Daniels-Meade, Political Reform Division
Steve Kawano, Information Technology Division
David Hulse, Political Reform Division
John Keplinger, Political Reform Division
Miguel Castillo, Information Technology Division
Lisa Leong, Political Reform Division
Wayne Cox, SAIC
Malcolm Cummings, SDR
John Krivacic, Booz-Allen & Hamilton
Mike Shulem, Data+ Imagination
David Montgomery, NetFile
Carla Wardlow, Fair Political Practices Commission
Sunny Jung, Franchise Tax Board
Diane Fishburn, Olson, Hagel et. al.
Sheila Scally, Olson, Hagel et. al.
Lap Tam, Olson, Hagel et. al
Rick Ehrlinspiel, GoldenPoint/Runforoffice.com
Chris White, Aristotle Publishing
Cynthia Bryant, Senator Johnson
Larry Sokol, Senate Elections Committee
Jerry Nottleson, Franchise Tax Board

Distributed were a copy of CAL errata 1.04.00, CAL Format Release/Revision 1.04.00, and CAL format 1.03.0,1, and the California File .CAL Layouts.

Steve Kawano, Project Manager from the ITD side of the Secretary of State's Office, presented the meeting overview:

Meeting Overview

- New release of CAL format
- Test procedures for approval of vendors/service providers
- The generation of Filer Identification Numbers and Passwords
- Difficulties encountered in filing electronically

- Procedures for filing LCR's and LIE's in light of electronic filing
- Improvements on the query searches on Secretary of State's Internet page
- Toll-free hotline for questions regarding electronic filing
- Should vendors who are not available for the general public be listed on our web site?
- Fining and enforcement under electronic filing
- General questions from vendors, the filing community, and the public

■ Issues discussion coordinated by Wayne Cox, SAIC, and David Hulse, Political Reform Division

◆ Review of changes

1a. added two new Entity Codes on Form 602.
1b. clarification on the CVR2 records in Form 602.
1c. Page 70 set up an Entity Code which is now required on Form 602 filings.
2. Page 43 added Employer/Occupation fields to the S498 layout for Form 498 filings. (this is a programming change on Form 498.)
3. Page 24 – CVR2 Entity Name fields refer to "Entity" rather than just "Candidates". (This is a document change only.)
4. Page 27 - SMRY records is not used for Schedule G. Schedule G subtotals are grouped by Agent Name and multiple summary totals are calculated by the CLAIMS print engine on the fly. Programs should not create SMRY records.
6. Page 29 – CUM_YTD and Cum_OTH are no longer a required field on Schedule C since it's a common practice to carry Cumulative Totals on Schedule A.
7. Pages 36-37, LOAN B2 and H2 loan_Amt1 – at least one of the fields is required, but not necessarily both.
8. Use of Cmte_ID and/or Treasurer Name/Address information is clarified on RCPT, EXPN, DEBT & LOAN schedules.
9. Revised Form 450, Form 461 and Form 465 to account for the form changes with the FPPC.
10. Page 40 – S496 renumbered fields for 1-3 & 5-9 to be 1-8. (documentation change)
11. Page 46 – Removed "CAO – Candidate/Office-holder" from list of acceptable Entity_Cd values of a Form 410 CVR (Cover Page).
Note: Added on Form 400 and Form 410 "Other Principal Officer" Title/Position.
13. On Form 606 added a lobbying code
14. CVR.40.Firm_Name (Lobbyist) in Section 4 on Form 606 and 607
15. Header version is now 1.04
16. SMRY record description on pages 27-28 & 58-59:

17. Page 47 – CVR.56- was designed to have a maximum length of 90 characters, now increased to 300 characters.

18. Page 65 of Section 4 – footnote stating that Form 604, Form 605 and Form 606 are not "stand-alone" filings corrected to state that only the Form 605 Amendment to Registration is not filed as a stand-alone filing.

19. Added text to overview page 5 – "Each kind of record must be coded with the exact number of field delimiters necessary to define the number of fields as specified by this document. The number of fields required on CVR and CVR2 records depends on the Form_Type. All other records have field counts which vary with the value of Rec_Type."

20. Page 19 - (Controlled/Sponsored Committee boxes now only appear on the Form 450 and Form 460 filings.

21. Page 16 shows that CVR2 will be included within Form 450 filings.

22. Page 28 now indicates correctly that there are 15 SMRY records for Form 450 filings.

23. Page 48 – Added ATR – Assistant Treasurer

24. Page 49 – Clarified when Candidate information and when Ballot Measure information is conditionally required on CVR2 records that are used to carry Form 410 "Primarily Formed Committee" information.

25. Page 40 - Added a Date_Thru to the S496 so that a date range can be specified.

Wayne reported to the group that we anticipate having a print engine from SDR sometime later today which will support this new version. Also expect to have the new validator available by Monday, which will enable us to roll the software over to the test server and hopefully can begin testing the new version by next Tuesday.

Mike Shulem raised a question of when the vendors will be required to in the version 1.04 format. The version needs to be tested before it's released onto the production server, therefore SAIC is unable to commit to vendors a specific date.

Mike asked if the test server would continue to accept version 1.03.01, and Wayne responded that we'll be in a better position to answer this question on Tuesday.

Changes in version 1.03.01 to version 1.04 are expected to occur by next Tuesday. This change will only affect the test server. Vendors requested a minimum of 30 days notification on any change in order for them to accomplish programming, vendor testing and user testing. No commitment was made regarding the 30-day notification on changes. Questions concerning the new 1.04 format: When will version 1.04 replace version 1.03? What will happen if the vendor files on version 1.03 using the 1.04 validator? Is it possible to test in version 1.03 and version 1.04? Wayne and Miguel clarified the need to make the change from version 1.03 to version 1.04. It is necessary to make these changes in order to generate approval on various forms (i.e., Form 450). Wayne suggested a “List Service” be made available to the vendors to identify the changes that occur and the modifications that will take place. This will provide a status regarding unforeseen problems as vendors attempt to qualify for the approval process.

The group expressed the need to have business rules to include a process and procedures manual, outlining time frames; communication tree, including who is accountable for what process; testing and instruction manual for the certification process; information on the need for and how to obtain a password, as well as the ID requirements, etc.

It was recommended that the Secretary of State’s Office communicate to the major donors and committees the process of obtaining the ID’s and passwords. For example, when should they request the ID’s and passwords; who qualifies; and what the process is in order to obtain the information. Caren explained the process to obtain ID’s and passwords to the group. The application for ID and password can be downloaded off the Secretary of State web site; when the application is completed, the client should fax the application to the Political Reform Division at (916) 653-5045; Political Reform Division staff will then provide the ID and password to the client via fax. A space is provided on the application for authorization to release the ID and password to the vendor and PRD staff will provide that information to the vendor as long as the client has authorized it on the application. We have also installed a toll-free hot line which rolls over to a pager for questions, etc., to enable an immediate response. The number is 1-(877) 745-FILE (3453). We will be providing ID’s and passwords for the lobbyist filings as well.

A request was made from the group to issue a report number/filing number to the forms that are electronically filed to enable the filer to identify a particular batch of LCR’s for confirmation purposes.

A question came up concerning what will be keyed in. David Hulse clarified that the paper side of the LCR cycle will be keyed; in however, disclosure reports will not be keyed in at this time. Eventually will have an upgrade to display and clearly identify electronic filings vs. paper filings and always default to the electronic filing on the Internet.

A couple of issues regarding error messages when filing electronically were addressed. Filers are receiving error messages and are unclear as to how they need to be corrected. It was recommended that the validator currently being used in the DOS environment be moved to a Windows program because there are vendors using the Unix environment and they cannot communicate with the DOS environment. Another request was made to have an explanation of the error messages to enable the filer to make the appropriate modifications. It appears there are some print engine issues that need to be resolved and a list has been composed and given to Wayne for review.

The Franchise Tax Board recommendations:

- In contribution search, provide an option for “all” rather than option of monetary, non-monetary or loans.
- Need a means of knowing if they are searching on an amendment or original and a way to see what’s been changed.
- Pdf rendering – make the form blue and the data black for easier reading.
- Expenditure – sort by date.
- Want to search by sub-vendors in expenditures.

Questions arose regarding the lobbyist registration forms and the status of the electronic versions. The group feels that all forms are required under the current legislation, however John Keplinger’s interpretation is that only quarterly disclosure reports are electronically filed.

Group requested to have a vendor fair for lobbyist related filings, vendors and filers.

Next meeting tentatively set for March 16, 2000. (Actually held March 23, 2000)

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Meeting adjourned at 12:15 a.m.

Respectfully submitted,

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